

Subject Access Request Procedure for The Consulting Association (TCA)

Written requests from individuals for a copy of the information which may be held about them on the TCA database can come to the ICO in two ways, by post or by email to the Information Governance outlook account.

Email

There is a specific folder called "TCA requests" which sits below the Information Governance inbox. The emails should be dealt with in date order with the oldest one worked on first. Where there is information to provide to the requester we will send it to them by recorded post. If there is no information held or we require further identification information then we will reply to the requester by email.

Post

This will come into the Information Governance post shelf in the business hub. The covering letter needs to be date stamped with the date we have received it.

Procedure

Open the email/letter and check what identification has been sent by the requester. Print out the email and its attachments (if any).

Acceptable identification documents;

- Copy of driving licence/passport/birth certificate
- Copy of something recent sent to their current address e.g. Utility bill, mobile phone bill, Council tax statement, bank statement etc

Other information we need;

- Date of birth
- National Insurance number
- Previous addresses

- **No identification provided – go to page 2**
- **Insufficient identification provided – go to page 3**
- **Sufficient identification provided – go to page 4**

No identification provided

- Log the requester's details onto the *A8 Record of complaints* sheet and assign them the next "CID" number.
- On the *TCA Spreadsheet Final* sheet do a Control F search of their surname to see if there is a similar name.
- Check the index list in the folder to see if there is a similar name

No similar name

- If no similar name is found, write to the requester using the "*Letter – information not held*" template.
- **Go to Saving and Sending Process on page 6**

Similar name

- If a similar name is found, either write the requester using the "*Letter – identification required*" template.
 - The template letters can be found in Meridio in 1.11.01, Consulting Association – Requests, Administration (TCA)
- **Go to Saving and Sending Process on page 6**

Insufficient identification provided

- Log the requester's details onto the *A8 Record of complaints* sheet and assign them the next "CID" number.
- On the *TCA Spreadsheet Final* sheet do a Control F search of their surname to see if there is a similar name.
- Check the index list in the folder to see if there is a similar name

No similar name

- If no similar name is found, write to the requester using the "*Letter – information not held*" template.
 - The template letters can be found in Meridio in 1.11.01, Consulting Association – Requests, Administration (TCA)
- **Go to Saving and Sending Process on page 6**

Similar name

- A similar name is found but the identification provided by the requester is insufficient for us to be certain that the entry is them.
- If the requester has provided a telephone number, call them and explain what information we require from them.
- If there is no telephone number write to them using the "*Letter – identification required*" template.
- The template letters can be found in Meridio in 1.11.01, Consulting Association – Requests, Administration (TCA)

If there is any doubt about the information which the requester has provided please ask.

- **Go to Saving and Sending Process on page 6**

Sufficient identification provided

- Log the requester's details onto the *A8 Record of complaints* sheet and assign them the next "CID" number.
- On the *TCA Spreadsheet Final* sheet do a Control F search of their surname to see if there is a similar name.
- Check the index list in the folder to see if there is a similar name

No similar name

- If there is no similar entry then write to the requester using the "*Letter – information not held*" template.
 - The template letters can be found in Meridio in 1.11.01, Consulting Association – Requests, Administration (TCA)
- **Go to Saving and Sending Process on page 6**

Similar name

- Obtain the cards for the letter which the surname begins with from the secure cabinet.
- Check to see if there is a card which relates to the requester.

No Card

- If there is no card but the details on the index match the identification provided write to the requester using the "*Letter – Basic information held only*". You will need to type the information into your letter in the colour which it appears on the index.
 - The template letters can be found in Meridio in 1.11.01, Consulting Association – Requests, Administration (TCA)
- **Go to Saving and Sending Process on page 6**

Card

- If there is a match then a scan needs to be taken of the card(s) which can be done using the photocopy/printer/scanner machines in the business hub. Please note some cards are double sided.

- If the card is one page long scan it to yourself. If the card is more than one page long then you will need to photocopy the card then scan the photocopies to yourself.
- Check that you have received the email and that the attachment is legible. If it is legible place the photocopy in the shredding bin, if not make the copy darker and rescan (you can also make the scan into a higher resolution).
- **Make sure that you replace the card back into the card bundle in alphabetical order.**
- Open your scanned PDF and use E-redact (refer to E-redact guidance) to redact;
 - any names of other individuals
 - any initials of other individuals (which often appear after the company code)

If you're not sure what to redact please ask.

- Once you have clicked "next" in E-redact make sure you send output "To printer". Choose single sided mono when the printer box appears and press print.
 - Write to the requester using the "*Letter – information held*" template and print your letter.
 - The template letters can be found in Meridio in 1.11.01, Consulting Association – Requests, Administration (TCA)
- **Go to Saving and Sending Process on page 6**

Saving and sending Process

By post

- Check you have the requester's address typed correctly on your letter select print
- Choose "letterhead_Plus_Continuation" on the printer screen then press print. If you have used colour for the index entry use the large colour printer by Corporate Affairs.
- Pass the information to the Lead Information Governance Officer for checking
- Scan your letter with the requesters correspondence (your letter should go on top). If you have used colour make sure you have scanned in colour (please refer to scanning guidance)
- Return to your computer and check you have received the scanned email
- Open the attachment and check that each page has scanned
- Save the attachment as PDF to your desktop in the following format;

Further information required

surname name – CID??? – further information required –
yearmonthday

e.g. Simpson Bart – CID137 – further information required –
20130214

No information held

surname name – CID??? – no information held – yearmonthday
e.g. Simpson Bart – CID137 - no information held – 20130214

Information held

surname name – CID??? – information held – yearmonthday
e.g. Simpson Bart – CID137 - information held – 20130214

- Drag and drop the PDF from your desktop to the Meridio Drop Zone
- The save box will appear. Navigate to 1.11.01 Consulting Association – Requests and open the correct "Requests/Responses" folder for the requesters surname (which are labelled A-B etc)
- Click ok

- Check that the PDF has been saved to Meridio then delete the PDF from your desktop and delete the scanned email from your inbox.
- If you are providing information or if you are returning identification originals ensure that you send your response by recorded delivery.
- Fill in the remainder of the information for the requester for their entry on the *A8 Record of complaints* sheet.
- Sign the hard copy letter, and staple the redacted copies of the cards to it (if providing).
- Put your letter and attachments and any originals to be returned in an envelope and put it in the outgoing post shelf. Ensure you are using a recorded delivery slip if providing/returning information.
- Place the correspondence from the requester in the shredding bin

By email

No identification provided or Insufficient identification provided

- Click reply to the requester's email
- Ensure that the email is showing as from "information governance"
- Using the appropriate letter template write to the requester
- Check response with Lead Information Governance Officer
- Click send
- Go to your sent items and print your reply to the requester
- Scan your email with the requesters email and attachments (your email should go on top)
- Return to your computer and check you have received the scanned email
- Open the attachment and check that each page has scanned
- Save the attachment as PDF to your desktop in the following format;

Further information required

surname name – CID??? – further information required -
yearmonthday
e.g. Crowley Joanne – CID137 – further information required –
20130214

No information held

surname name – CID??? – no information held – yearmonthday
e.g. Crowley Joanne – CID137 - no information held – 20130214

- Drag and drop the PDF from your desktop to the Meridio Drop Zone
- The save box will appear. Navigate to 1.11.01 Consulting Association – Requests and open the correct “Requests/Responses” folder for the requesters surname (which are labelled A-B etc)
- Click ok
- Check that the PDF has been saved to Meridio then delete the PDF from your desktop and delete the scanned email from your inbox.
- Fill in the remainder of the information for the requester for their entry on the *A8 Record of complaints* sheet.
- Delete the email to the requester from your sent items and delete their email from the TCA requests outlook folder.

Sufficient information provided

***No information held**

- Click reply to the requester’s email
- Ensure that the email is showing as from “information governance”
- Using the “*Letter – no information held*” template write to the requester
- Check response with Lead Information Governance Officer
- Click send
- Go to your sent items and print your reply to the requester
- Scan your email with the requesters email and attachments (your email should go on top)
- Return to your computer and check you have received the scanned email

- Open the attachment and check that each page has scanned
- Save the attachment as PDF to your desktop in the following format;

No information held

surname name – CID??? – no information held – yearmonthday
e.g. Crowley Joanne – CID137 - no information held – 20130214

- Drag and drop the PDF from your desktop to the Meridio Drop Zone
- The save box will appear. Navigate to 1.11.01 Consulting Association – Requests and open the correct “Requests/Responses” folder for the requesters surname (which are labelled A-B etc)
- Click ok
- Check that the PDF has been saved to Meridio then delete the PDF from your desktop and delete the scanned email from your inbox.
- Fill in the remainder of the information for the requester for their entry on the *A8 Record of complaints* sheet.
- Delete the email to the requester from your sent items and delete their email from the TCA requests outlook folder.

Sufficient information provided

***Information held**

- Follow the post procedure above – **DO NOT** sent the response by email.

If you’re not sure about anything please ask